

UNITED STATES PATENT AND TRADEMARK OFFICE

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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
WILSON, SONSINI GOODRICH & ROSATI GOODRICH 09/03,051	07/10/2001	C. John Wherry	24459.702

CONFIRMATION NO. 9399

FORMALITIES LETTER



OC000000006502033

021971

WILSON SONSINI GOODRICH & ROSATI
650 PAGE MILL ROAD
PALO ALTO, CA 943041050

Date Mailed: 08/31/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
 - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

A copy of this notice MUST be returned with the reply.

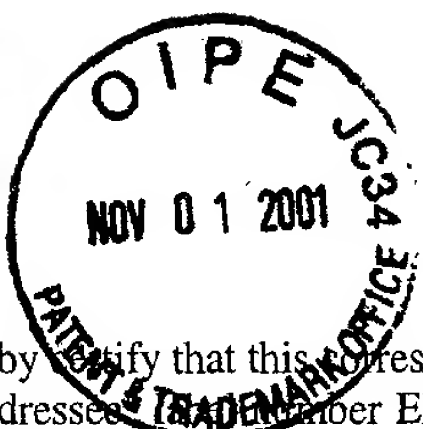
Customer Service Center
Initial Patent Examination Division (703) 308-1202

WSGR PATENT DOCKET	
U.S.: <input checked="" type="checkbox"/>	FOREIGN: <input type="checkbox"/>
DOCKETED: 9/10/01	BY: D.P.
ACTION: US MISSING PARTS	
DUE DATES: Due: 10/31/01	
Final: 2/28/02	
ATTY: P.D.	CM #: 24459-702

12/16/2001
12/16/2001

PART 2 - COPY TO BE RETURNED WITH RESPONSE

09503054-110101
K0T0T" K30E060



12-04-01

SL-COR
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I hereby certify that this correspondence is being deposited in an envelope with the U.S. Postal Service "Express Mail Post Office to Addressee Number EF 279208005US and addressed to: U.S. Patent and Trademark Office, P.O. Box 2327, Arlington, VA 22202, on:

Date: 11/30/01

By: Valerie Jones

Docket No. 37498-8001.US01

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF:

C. John Wherry and Frederick L.A. Grauer

SERIAL No.: 09/903,051

FILED: July 10, 2001

FOR: A METHOD AND SYSTEM FOR
INVESTMENT INTEGRATION

EXAMINER: Unknown

ART UNIT: 2161

**Response to Notice to File Missing
Parts of Application**

Box Missing Parts
U.S. Patent and Trademark Office
P.O. Box 2327
Arlington, VA 22202

Sir:

1. In response to the Notice to File Missing Parts mailed 08/31/2001 (copy enclosed), applicant submits the following:

- ☒ A Petition for One-Month Extension of Time
- ☒ An Executed Declaration of Inventorship
- ☒ A Power of Attorney by Assignee
- ☒ Substitute Drawings 1-19
- ☐ An Information Disclosure Statement, Form 1449, and references (if appropriate)
- ☐ A Sequence Listing printout, floppy diskette, Matching Declaration under 37 CFR §1.821, and copy* of Sequence Listing Notice
- ☒ a copy of an assignment recordation cover sheet for informational purposes only (Form PTOL-1595) for assignment(s) being filed separately.

0903051-1040

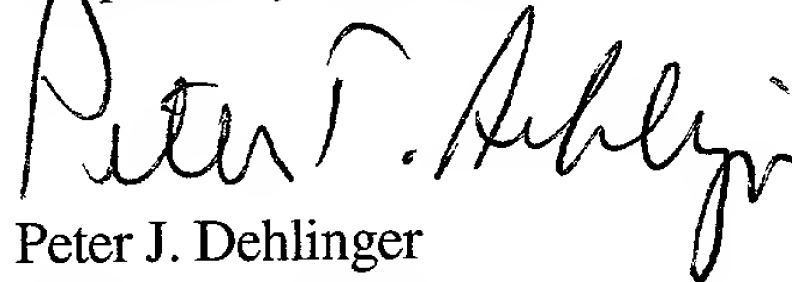
2. Conditional Petition for Extension of Time

Applicant petitions for an Extension of Time if necessary for timely filing of this Response.

3. Fee Payment

- ☒ Applicant claims small entity status. See 37 CFR §1.27
- ☒ Please charge \$120.00 in payment for the surcharge for late filing of declaration or oath, and the 1-month extension fee to Deposit Account No. 50-0665; this paper is provided in triplicate.
- ☒ Please charge any underpayment for timely filing of this Response to Deposit Account No. 50-0665.

Respectfully submitted,



Peter J. Dehlinger
Registration No. 28006

Date: 11-30-01

Correspondence Address:

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